

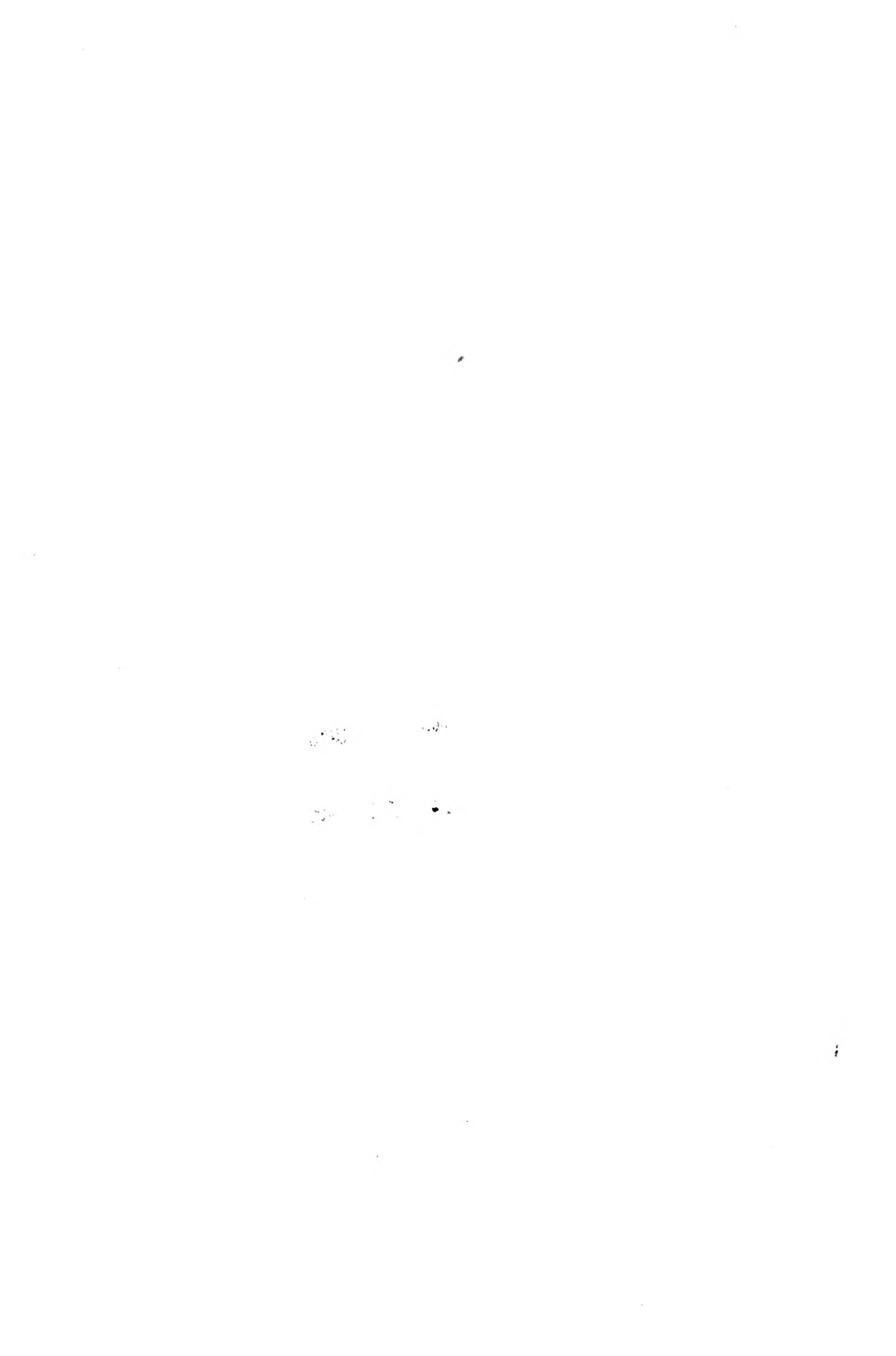
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THE CARNEGIE FOUNDATION  
FOR THE ADVANCEMENT OF TEACHING

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RULES FOR THE ADMISSION OF INSTITUTIONS  
AND FOR THE GRANTING OF RETIRING  
ALLOWANCES



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## RULES FOR THE ADMISSION OF INSTITUTIONS AND FOR THE GRANTING OF RETIRING ALLOWANCES

THE act of incorporation, passed by the Congress of the United States, and approved by the President on March 10, 1906, expresses the purpose of the Foundation as follows:

Section 2. That the objects for which said corporation is incorporated shall be—

(a) To receive and maintain a fund or funds and apply the income thereof as follows:

To provide retiring pensions, without regard to race, sex, creed, or color, for the teachers of universities, colleges, and technical schools in the United States, the Dominion of Canada, and Newfoundland, who, by reason of long and meritorious service, or by reason of old age, disability, or other sufficient reason, shall be deemed entitled to the assistance and aid of this corporation, on such terms and conditions, however, as such corporation may from time to time approve and adopt: *Provided, however,* That the said retiring pensions shall be paid to such teachers only as are or have been connected with institutions not under control of a sect or which do not require their trustees, their officers, faculties, or students (or a majority thereof) to belong to any specified sect, and which do not impose any theological test as a condition of entrance therein or of connection therewith.

(b) In general, to do and perform all things necessary to encourage, uphold, and dignify the profession of the teacher and the cause of higher education within the United States, the Dominion of Canada, and Newfoundland aforesaid, and to promote the objects of the Foundation, with full power, however, to the trustees hereinafter appointed and their successors from time to time to modify the conditions and regulations under which the work shall be carried on, so as to secure the application of the funds in the manner best adapted to the conditions of the time: *And provided,* That such corporation may by a vote of two-thirds of the entire number of trustees enlarge or vary the purposes herein set forth, provided that the objects of the corporation shall at all times be among the foregoing and kindred thereto.

The trustees, on May 7, 1908, accepted from Mr. Carnegie an additional endowment for the purpose of extending the retiring allowance system to tax-supported institutions.

The executive committee, on February 11, 1913, with the approval of the trustees, accepted from Mr. Carnegie an additional gift for the independent endowment of a Division of Educational Enquiry.

The following rules have been adopted by the trustees. The explanatory matter in fine print embodies interpretations of the rules by the executive committee.

## THE ADMISSION OF INSTITUTIONS TO THE ASSOCIATED LIST

INSTITUTIONS of higher learning, including colleges, technical schools, and universities, whose work is clearly of college or university grade, may be admitted to participation in the benefits of the retiring allowance system sustained by the Foundation.

### APPLICATIONS

Applications on behalf of institutions should be made by the board in which the government of the institution is vested.

### ACADEMIC STANDING

In order to be admitted to the retiring allowance system of the Foundation, the essential work of an institution must be that of higher education, and of such a character that graduation from a four-year high school course, or equivalent training, is a prerequisite therefor.

The term "college" is used to designate, in the United States, Canada, and Newfoundland, institutions varying so widely in requirements for admission, standards of instruction, and facilities for work, that for the purposes of this Foundation some arbitrary definition of that term is necessary. The following definition, in force in the state of New York, will be employed:

"An institution to be ranked as a college must have at least six (6) professors giving their entire time to college and university work, a course of four full years in liberal arts and sciences, and should require for admission not less than the usual four years of academic or high school preparation, or its equivalent, in addition to the pre-academic or grammar school studies."

A technical school, to be eligible, must have entrance and graduation requirements equivalent to those of the college, and must offer courses in pure and applied science of equivalent grade.

No institution will be accepted which is so organized that stockholders may participate in its benefits.

A tax-supported institution must be in receipt of an annual income of not less than one hundred thousand dollars.

An institution not supported by taxation, in order to meet the requirement in regard to endowment, must have a productive endowment of not less than two hundred thousand dollars over and above any indebtedness of the institution.

The executive committee has ruled that institutions in other countries than the United States, the Dominion of Canada, and Newfoundland are not eligible to participate in the retiring allowance system (January 19, 1911); that institutions whose work is primarily research, and not teaching, are not eligible to participate in the retiring allowance system (September 15, 1909); that an institution which contains a small college of good standards but also a preparatory school, an agricultural school, or an elementary music school, does not represent with sufficient distinctness and clarity the organization and conception of a college to be eligible to participate in the retiring

allowance system (January 20, 1910); and that until the financial load which the Foundation has assumed is more completely known, additions to the number of associated colleges will be made with great caution (November 20, 1912).

### TAX-SUPPORTED INSTITUTIONS

In the case of tax-supported institutions, the applications must be accompanied by the approval of the governor and of the legislature of the state or province in which the institution is situated. The trustees of the Foundation reserve the right to decline the application of any such institution if it is subject to a political control or interference which, in the opinion of the trustees of the Foundation, impairs its educational efficiency.

The executive committee has ruled that the Foundation cannot, in lieu of the application of the legislature, accept the application of the board of regents of a state university even when by the state constitution the board of regents is independent of the legislature in regard to the acceptance of endowments and gifts (June 4, 1909); and that in admitting state universities containing colleges of agriculture, these latter colleges are for the present excluded (June 4, 1909).

### UNDENOMINATIONAL TEST

Institutions of higher learning will be recognized as eligible to the benefits of the Foundation, so far as denominational control is involved, under the following conditions:

1. Colleges, universities, and technical schools of requisite academic grade, not owned or controlled by a religious organization, whose acts of incorporation or charters specifically provide that no denominational test shall be applied in the choice of trustees, officers, or teachers, or in the admission of students.

2. In the case of colleges, universities, and technical schools, not owned or controlled by a religious organization, in which no specific statement concerning denominational tests is made in the charters or acts of incorporation, the trustees of such institutions shall be asked to certify by a resolution to the trustees of the Carnegie Foundation for the Advancement of Teaching, that, notwithstanding the lack of specific prohibition in the charter, "no denominational test will be imposed in the choice of trustees, officers, or teachers, or in the admission of students, nor will denominational tenets or doctrines be taught to the students." Upon the passage of such resolution by the governing bodies of such institutions, they may be recognized as entitled to the benefits of the Carnegie Foundation for the Advancement of Teaching, so far as considerations of sectarian control are concerned.

The executive committee has ruled that the Foundation cannot accept the waiver by a denominational assembly of the right to confirm the election of the trustees of a college as equivalent to a legal abrogation of this provision in a college charter (November 12, 1908); that the election of the members of a board of trustees by several constituencies, one of which is a denominational assembly or assemblies, the respective number of the trustees elected by each constituency, and therefore the control of the board, to be determined later by a by-law of the board, is a plan for collegiate government which falls within the prohibition of the charter of the Foundation (December 19, 1907); that the appointment of the trustees of a college, subject to confirmation by the board of education of a denomination, is within the prohibition of the charter of the Foun-

dation (May 5, 1910); that the endowment of a professorship, to be held by a college so long as its president and a majority of its trustees are members of, or in doctrinal sympathy with, a specified denomination, constitutes such a college, within the rules of the Foundation, a sectarian institution (June 21, 1906); that application to the Foundation for admission to the list of associated colleges, and the passage of the resolution certifying to undenominational status as required by the rules of the Foundation, create a relation which is inconsistent with the appearance of the name of the institution in an official list of denominational colleges and with the official indorsement of such colleges by denominational assemblies (January 23, 1907); that when the name of an associated college appears in a denominational publication, it should be put in a separate list from those under actual denominational control, under the caption: "The following institutions are not connected with the . . . Church by any legal ties, nor are they subject to its control" (March 28, 1907); that an institution which appeals to a denomination for support on the grounds of its denominational standing is ineligible to the list of associated colleges, without regard to formal denominational status (November 15, 1906); that a proposed college charter which would read: "A majority of the faculty must be members of Protestant churches, but shall be so chosen that the members of no one church shall have a majority," is within the prohibition of the charter of the Foundation (April 9, 1908); that a college in which a minority of the trustees is elected by denominational assemblies, if conducted free from denominational partisanship, is eligible to participate in the retiring allowance system (January 20, 1910); and that the professors in the divinity school of an associated college, which is declared by the trustees of the college to be primarily designated for the education of candidates for the ministry of a specified denomination, are not eligible to the privileges of the retiring allowance system (July 26, 1906).

#### DISCONTINUANCE

The trustees of the Carnegie Foundation for the Advancement of Teaching reserve the right to discontinue the privilege of participation in the system of retiring allowances of the Foundation whenever, in the judgment of the trustees, an institution ceases to conform to the regulations maintained by the trustees. Such withdrawal shall not, however, result in the discontinuance of retiring allowances already granted.

The executive committee has ruled that the action of an associated college in passing a resolution that future elections of trustees shall be presented to a denominational assembly for confirmation is considered as a notification of the desire of the college to sever its relation with the Foundation (September 30, 1909).

#### RULES FOR THE GRANTING OF RETIRING ALLOWANCES

Retiring allowances are granted in the colleges, universities, and technical schools on the associated list of the Foundation on two distinct grounds: (1) to a teacher of specified service on reaching the age of sixty-five; (2) to a teacher after twenty-five years of service as professor, or thirty years of service as professor and instructor, in case of physical disability.

The executive committee has ruled that a retiring allowance is granted under the rules in force at the date of granting, and an allowance is not increased or diminished by a subsequent change in the rules, even if the professor does not actually retire until after such change (May 2, 1907). Thus, professors cannot draw allowances upon the basis of the abrogated service rule of the Foundation, even if they had been eligible to retire under the rule when it was in force (June 9, 1910); and that if the grant of a retiring allowance is not followed within a reasonable time by actual retirement, the allowance must come before the executive committee as a new application (October 8, 1907).

**RULE 1.** Any person sixty-five years of age who has had not less than fifteen years of service as a professor, or not less than twenty-five years of service as instructor or as instructor and professor, and who is at the time a professor or an instructor in an associated institution, shall be entitled to an annual retiring allowance computed as follows:

(a) For an active pay of twelve hundred dollars<sup>1</sup> or less, an allowance of one thousand dollars, provided no retiring allowance shall exceed ninety per cent of the active pay.

(b) For an active pay greater than twelve hundred dollars, the retiring allowance shall equal one thousand dollars, increased by fifty dollars for each one hundred dollars of active pay in excess of twelve hundred dollars.

(c) No retiring allowance shall exceed four thousand dollars.

Retiring allowances based upon age are computed by the formula:  $R = \frac{A}{2} + 400$ , where R = annual retiring allowance and A = active pay.

Instructors were made eligible to the benefits of the retiring allowance system by an amendment adopted by the trustees on November 13, 1903. An instructor is held to be a college or university teacher to whom is assigned independent teaching or responsibility for the conduct of laboratory work or of classes under the direction or supervision of a professor or head of a department. The term is not intended to include demonstrators, mechanics, laboratory helpers, or other assistants who are not charged with the responsibility for the conduct of college classes, nor is it held to include those who give any considerable part of their time to gainful occupations other than college teaching. The Foundation reserves the right to decide in all doubtful cases what constitutes service as an instructor.

The executive committee has ruled that service as "emeritus professor" with salary may be counted (June 7, 1906); and that a demonstrator in a technical school does not hold a title representing service equivalent to that of a permanent instructor (January 14, 1913).

**RULE 2.** Any person who has had twenty-five years of service as professor, or thirty years of service as instructor and professor, and who is at the time either a professor or an instructor in an associated institution, shall, in the case of disability unfitting him for the work of a teacher as proved by medical examination, be entitled to a retiring allowance computed as follows:

(a) For an active pay of twelve hundred dollars or less, a retiring allowance of eight hundred dollars, provided that no retiring allowance shall exceed eighty per cent of the active pay.

(b) For an active pay greater than twelve hundred dollars, the retiring allowance shall equal eight hundred dollars, increased by forty dollars for each one hundred dollars in excess of twelve hundred dollars.

(c) For each additional year of service above twenty-five for a professor, or above thirty for an instructor, the retiring allowance shall be increased by one per cent of the active pay.

(d) No retiring allowance shall exceed four thousand dollars.

<sup>1</sup> Originally "sixteen;" reduced to "twelve" on November 15, 1906.

Retiring allowances based on permanent disability are computed by the formula:  $R = \frac{A}{100} (b + 15) + 320$ , where  $R$  = retiring allowance,  $A$  = active pay, and  $b$  = number of years of service.

The executive committee has ruled that a professor over sixty-five years of age cannot be retired upon an allowance according to this rule (June 9, 1910).

The executive committee has ruled (April 20, 1911) that the policy of the Foundation is to grant temporary disability allowances only in cases of disability which are not supposed to be permanent. On October 31, 1912, the committee voted that until further action on the part of the trustees, temporary retiring allowances shall not be granted.

**RULE 3.** A widow who has been for ten years the wife of a teacher, who at the time of his death was in receipt of a retiring allowance, or who at the time of his death was eligible to a retiring allowance on the basis of age, or who had had twenty-five years of service as a professor, or thirty years of service as an instructor and professor, shall receive as a pension one-half of the retiring allowance to which her husband was entitled under Rule 1, or to which he would have been entitled under Rule 2 in case of disability.

The provision for widows was merely permissive until May 7, 1903, when the trustees made it mandatory.

The executive committee has ruled that this rule does not apply to the widows of the recipients of a temporary disability allowance, whose service as a professor has been less than twenty-five years (December 19, 1907); and that the intention of the rules is that a pension to a widow shall cease upon her remarriage (February 6, 1903).

**RULE 4.** In addition to the provision for retiring allowances made in Rules 1 and 2, the Foundation will coöperate with institutions on the associated list in the retirement of teachers who have had twenty-five years of service as professor, or thirty years of service as professor and instructor, but who, not being sixty-five years of age, are not eligible for retirement under Rule 1, upon the following basis:

If the institution grants to such a teacher a retiring allowance at its own cost, the Foundation will consider such teacher eligible to a retiring allowance on reaching the age of sixty-five under the rules in force at that time, and at the same rate which the institution has paid in the interval, provided the retiring allowance so paid shall not be less than that to which the teacher would be entitled if he retired under Rule 2 on the ground of disability, and provided further that under no circumstances will the Foundation pay a higher retiring allowance to such a teacher than that to which he would have been entitled had he remained in service until the age of sixty-five and retired under Rule 1. Should a teacher so retired by an institution die before reaching the age of sixty-five, his widow would be eligible under the rules to receive a pension from the Foundation equal to one-half of that which her husband had been receiving, provided that under no circumstances would such widow be entitled to a higher allowance than that which she would have received had her husband been retired under Rule 1 or Rule 2.

**RULE 5.** In the preceding rules, years of leave of absence are to be counted as years



of service, but not exceeding one year in seven. Librarians, registrars, recorders, and administrative officers of long tenure whose salaries may be classed with those of professors and assistant professors are considered eligible to the benefits of the retiring allowance system.

The executive committee has ruled that a superintendent of buildings is not eligible (January 23, 1907); that assistant treasurers, assistant bursars, superintendents of grounds, and chief engineers are not eligible, nor the holder of the office designated as "head of a house" in women's colleges (January 20, 1910); that assistant librarians, occupying scholarly positions similar to those of assistant professors, are eligible (February 24, 1910); that in any one institution not more than one officer in the treasurer's department can be eligible (January 19, 1911); that a physical director of a college or university is not eligible unless he is an actual member of the faculty and a teacher of hygiene (November 15, 1911); and that the position of secretary to the president of a college or university does not render the holder eligible (November 15, 1911).

**RULE 6.** Teachers in the professional departments of universities whose principal work is outside the profession of teaching are not included.

**RULE 7.** The benefits of the Foundation shall not be available to those whose active service ceased before April 16, 1905, the date of Mr. Carnegie's original letter to the trustees.

The executive committee has ruled that it cannot waive this rule (November 15, 1906), and that it applies in the case of a professor who retired from active service before April 16, 1905, and who resumed teaching temporarily in order to qualify for a retiring allowance (October 8, 1907).

**RULE 8.** In counting years of service toward a retiring allowance it is not necessary that the entire service shall have been given in institutions upon the associated list of the Foundation, but only years of service in an institution of higher education will be accepted as an equivalent.

The executive committee has ruled that the president and the treasurer (May 9, 1906) and the secretary of the Carnegie Foundation (June 8, 1911) are within the privileges of the retiring allowance system; that a limited period of service spent by a professor of an associated college in the American Classical School at Athens (March 23, 1907), the School of Classical Studies at Rome, the American School in Palestine, the Archaeological Institute of America (November 12, 1908), and the American Academy at Rome (April 29, 1913) will be counted in reckoning his retiring allowance; that professors who may go from a college or university to engage in the work of scientific research under the Carnegie Institution of Washington may, in determining their retiring allowance, count years spent in research, whether for a longer or shorter time, as if spent in the work of a college professor (December 19, 1907); but that this privilege cannot be extended to those who begin with service in the Carnegie Institution of Washington, and later transfer to the service of an associated college (June 4, 1909); that the privileges of the retiring allowance system cannot be continued to professors who go for a limited number of years from colleges to scientific service under the United States government (October 19, 1911); and that service as the principal of an academy connected with an associated college cannot be counted (December 19, 1907).

**RULE 9.** In reckoning the amount of the retiring allowance the average salary for the last five years of active service shall be considered the active pay. In case, however, a professor agrees with his institution to continue at any time after reaching the age of sixty-five part time work for a diminished salary, he may do so, and upon his retirement his allowance shall be computed upon the basis of the last five years of

full pay. In the case of his death in this interval the pension of his widow shall be reckoned upon the same basis.

In applying the rules for calculating retiring allowances the calculation shall be made to the nearest multiple of five above the actual value given by the rules (June 7, 1906).

Allowances remain in force for thirty days after the death of the recipient (January 20, 1910).

**RULE 10.** In no case shall any allowance be paid to a teacher who continues to give the whole or a part of his time to administration or teaching as a member of the instructing staff of any institution. This rule does not prevent the retired professor from having access to the laboratories of his institution, or from accepting compensation for occasional lectures; but it does not permit him to assume stated academic duties.

The executive committee has ruled that a retired professor cannot draw an allowance while acting in the capacity of advisory dean of a college, that is, supervising the installation and arrangements of courses and the selection of professors (May 5, 1910); and that a retired professor cannot teach in the summer school of the institution with which he was connected (April 20, 1910).

**RULE 11.** The Carnegie Foundation for the Advancement of Teaching retains the power to alter these rules in such manner as experience may indicate as desirable for the benefit of the whole body of teachers.

#### RECOGNITION OF INDIVIDUAL PROFESSORS IN INSTITUTIONS NOT ON THE ASSOCIATED LIST

The trustees realize that there are able and devoted teachers rendering admirable service to education in institutions which, owing to low entrance requirements, or for other reasons, are considered below the academic grade requisite to entitle them to a place on the associated list of institutions. Individual professors of extraordinary merit or service in such institutions may be granted retiring allowances, but in such cases the trustees will deal with the individual professor. Such allowances cannot in any instance be granted to professors in institutions deemed to be under denominational control. Inasmuch as the Carnegie Foundation for the Advancement of Teaching is a gift to higher education, service in a high school or academy will not entitle a teacher to a retiring allowance from this Foundation.

The executive committee has ruled that upon the admission of an institution to the list of associated colleges, the amount of allowance heretofore granted to a professor in that institution may be increased to the amount fixed by the rules (April 9, 1908), and that it is inexpedient in the future to grant allowance outside of the associated colleges "except in cases of especial significance in institutions whose standards are so advanced that within a short time the institution will be ready to apply for admission to the Foundation" (May 5, 1910).

These rules were approved at the annual meeting of the trustees of the Carnegie Foundation for the Advancement of Teaching held on November 19, 1913.

(Attest) CHARLES F. THWING,  
*Secretary of the Board of Trustees.*

## LIST OF ASSOCIATED INSTITUTIONS

AMHERST COLLEGE  
Amherst, Massachusetts

BATES COLLEGE  
Lewiston, Maine

BELOIT COLLEGE  
Beloit, Wisconsin

BOWDOIN COLLEGE  
Brunswick, Maine

UNIVERSITY OF CALIFORNIA  
Berkeley

CARLETON COLLEGE  
Northfield, Minnesota

CASE SCHOOL OF APPLIED SCIENCE  
Cleveland, Ohio

CENTRAL UNIVERSITY OF KENTUCKY  
Danville

UNIVERSITY OF CINCINNATI  
Cincinnati, Ohio

CLARK UNIVERSITY  
Worcester, Massachusetts

THOMAS S. CLARKSON MEMORIAL COLLEGE OF  
TECHNOLOGY  
Potsdam, New York

COE COLLEGE  
Cedar Rapids, Iowa

COLORADO COLLEGE  
Colorado Springs

COLUMBIA UNIVERSITY  
New York City

CORNELL UNIVERSITY  
Ithaca, New York

DALHOUSIE COLLEGE AND UNIVERSITY  
Halifax, Nova Scotia

DARTMOUTH COLLEGE  
Hanover, New Hampshire

DICKINSON COLLEGE  
Carlisle, Pennsylvania

DRAKE UNIVERSITY  
Des Moines, Iowa

DRURY COLLEGE  
Springfield, Missouri

FRANKLIN COLLEGE OF INDIANA  
Franklin

GRINNELL COLLEGE  
Grinnell, Iowa

HAMILTON COLLEGE  
Clinton, New York

HARVARD UNIVERSITY  
Cambridge, Massachusetts

HOBART COLLEGE  
Geneva, New York

INDIANA UNIVERSITY  
Bloomington

JOHNS HOPKINS UNIVERSITY  
Baltimore, Maryland

KNOX COLLEGE  
Galesburg, Illinois

LAWRENCE COLLEGE  
Appleton, Wisconsin

LEHIGH UNIVERSITY  
South Bethlehem, Pennsylvania

LELAND STANFORD JUNIOR UNIVERSITY  
Stanford University, California

MCGILL UNIVERSITY  
Montreal, Quebec

MARIETTA COLLEGE  
Marietta, Ohio

MASSACHUSETTS INSTITUTE OF TECHNOLOGY  
Boston

UNIVERSITY OF MICHIGAN  
Ann Arbor

MIDDLEBURY COLLEGE  
Middlebury, Vermont

UNIVERSITY OF MINNESOTA  
Minneapolis

UNIVERSITY OF MISSOURI  
Columbia

MOUNT HOLYOKE COLLEGE  
South Hadley, Massachusetts

NEW YORK UNIVERSITY  
New York City

OBERLIN COLLEGE  
Oberlin, Ohio

## ASSOCIATED INSTITUTIONS

UNIVERSITY OF PENNSYLVANIA Philadelphia	TULANE UNIVERSITY OF LOUISIANA New Orleans
UNIVERSITY OF PITTSBURGH Pittsburgh, Pennsylvania	UNION UNIVERSITY Schenectady, New York
POLYTECHNIC INSTITUTE OF BROOKLYN Brooklyn, New York	VASSAR COLLEGE Poughkeepsie, New York
PRINCETON UNIVERSITY Princeton, New Jersey	UNIVERSITY OF VERMONT Burlington
PURDUE UNIVERSITY Lafayette, Indiana	UNIVERSITY OF VIRGINIA Charlottesville
RADCLIFFE COLLEGE Cambridge, Massachusetts	WABASH COLLEGE Crawfordsville, Indiana
RENSSELAER POLYTECHNIC INSTITUTE Troy, New York	WASHINGTON AND JEFFERSON COLLEGE Washington, Pennsylvania
RIPON COLLEGE Ripon, Wisconsin	WASHINGTON UNIVERSITY St. Louis, Missouri
UNIVERSITY OF ROCHESTER Rochester, New York	WELLESLEY COLLEGE Wellesley, Massachusetts
ROSE POLYTECHNIC INSTITUTE Terre Haute, Indiana	WELLS COLLEGE Aurora, New York
SMITH COLLEGE Northampton, Massachusetts	WESLEYAN UNIVERSITY Middletown, Connecticut
STEVENS INSTITUTE OF TECHNOLOGY Hoboken, New Jersey	WESTERN RESERVE UNIVERSITY Cleveland, Ohio
SWARTHMORE COLLEGE Swarthmore, Pennsylvania	WILLIAMS COLLEGE Williamstown, Massachusetts
UNIVERSITY OF TORONTO Toronto, Ontario	UNIVERSITY OF WISCONSIN Madison
TRINITY COLLEGE Hartford, Connecticut	WORCESTER POLYTECHNIC INSTITUTE Worcester, Massachusetts
TUFTS COLLEGE Tufts College, Massachusetts	YALE UNIVERSITY New Haven, Connecticut

November, 1913.

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